**FY 2008 (October 1, 2007—September 30, 2008)**
**NIMS Compliance Objectives for States, Territories, Tribal Nations and Local Governments**

### Introduction

Homeland Security Presidential Directive 5 (HSPD-5) *Management of Domestic Incidents* called for the establishment of a single, comprehensive national incident management system. As a result, the U.S. Department of Homeland Security released the National Incident Management System (NIMS) in March 2004. NIMS provides a systematic, proactive approach guiding departments and agencies at all levels of government, the private sector, and nongovernmental organizations to work seamlessly to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life, property, and harm to the environment. This consistency provides the foundation for implementation of the NIMS for all incidents, ranging from daily occurrences to incidents requiring a coordinated Federal response. The NIMS document, as revised in 2007, reflects contributions from stakeholders and lessons learned during recent incidents.

States and territories play an important role in ensuring effective NIMS implementation; not only must they implement NIMS within State and territory Departments and Agencies, but also ensure that the systems and processes are in place to communicate and support NIMS compliance at all jurisdictional levels. In some instances, when tribal nations or local government may not have the resources to implement all NIMS elements on their own, States and territories should support their efforts by encouraging them to cooperate with other localities in their regions and pool their resources to implement NIMS.

The long-term goal of NIMS is to provide a consistent framework for all aspects of emergency management and incident response. This framework should be sustainable, flexible, and scalable to meet changing incident needs and allow for integration of other resources from various partners through mutual aid agreements and/or assistance agreements.

### FYs 2005-2007 NIMS Compliance Objectives

On September 8, 2004, a letter to the Nation's Governors detailed the initial steps that States, territories, tribal nations and local governments needed to take to implement NIMS. The activities, now objectives, outlined in that letter provide the foundation for current NIMS compliance. Since that time, the Incident Management Systems Division (IMSD) continues to expand on this foundation and add additional objectives—each developed to enhance the way incidents are managed at all levels of government.

Prior to Fiscal Year (FY) 2007, IMSD required States and territories to self-certify their NIMS compliance. Beginning in FY 2007, NIMS compliance was determined by State, territory, tribal nation and local government responses to performance-based "metrics". IMSD developed these compliance metrics from previously-required implementation objectives specified in the *FY 2006 NIMS Implementation Matrix for States and Territories and the FY 2006 NIMS Implementation Matrix for Tribal Governments and Local Jurisdictions*. Additionally, the NIMS Compliance Assistance Support Tool (NIMSCAST) has been expanded to incorporate these metrics as well as provide stakeholders with a way to collect and report data relating to NIMS implementation and compliance. IMSD will analyze this data to help shape the future of its NIMS compliance program.

### NIMS Compliance in FY 2008

As we move into FY 2008, State, territory, tribal nations, and local governments will address specific compliance objectives, which will outline necessary actions to be accomplished in FY 2008. As with FY 2007 implementation activities, each objective will have corresponding metrics that address expected achievements for FY 2008 and out years. The FY 2008 metrics will clearly outline year end expectations,

while out-year metrics will provide actions that can be implemented in FY08 or addressed in the future. The out-year metrics will allow stakeholders to work within their current level of NIMS implementation and compliance and move ahead in implementation objectives.  In FY 2008, there are 16 new NIMS Compliance Objectives for States and Territories and 15 new objectives for Tribal Nations and Local Governments.

| NIMS Compliance Objectives | State/ Territory | Tribal Nations | Local Govts. |
|---|---|---|---|
| **Adoption** | | | |
| 1. Adopt NIMS for all Departments/Agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs) and private sector emergency management and incident response organizations. | ✓ | ✓ | ✓ |
| 2. **New FY08:** Monitor formal adoption of NIMS, to include formal NIMS adoption by Departments/Agencies. | ✓ | N/A | N/A |
| 3. Establish and maintain a planning process to communicate, monitor and implement all NIMS requirements across the State/Territory (including Departments/Agencies), including local governments.   This process must provide a means for measuring progress and facilitate reporting. | ✓ | N/A | N/A |
| 4. Designate and maintain a single point of contact within government to serve as principal coordinator for NIMS implementation jurisdiction-wide (to include a principal coordinator for NIMS implementation within each Department/Agency. | ✓ | ✓ | ✓ |
| 5. Ensure that Federal Preparedness Awards [to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds] to State/Territorial Departments/Agencies, as well as local governments, support all required NIMS compliance Objectives. | ✓ | ✓ | ✓ |
| 6. Audit agencies and review organizations should routinely include NIMS compliance requirements in all audits associated with Federal Preparedness Awards. | ✓ | ✓ | ✓ |
| 7. Assist Tribal Nations with formal adoption and implementation of NIMS. | ✓ | N/A | N/A |
| *Total Number of Adoption Objectives* | *7* | *4* | *4* |
| *Total New FY08 Adoption Objectives* | *1* | *0* | *0* |

| NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|:---:|:---:|:---:|
| **Preparedness: Planning** | | | |
| 8. Revise and update emergency operations plans (EOPs), standard operating procedures (SOPs), and standard operating guidelines (SOGs) to incorporate NIMS and National Response Framework (NRF) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions. | ✓ | ✓ | ✓ |
| 9. Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs). | ✓ | ✓ | ✓ |
| 10. **New FY08:** Include preparedness organizations and elected and appointed officials in the development of emergency operations plans (EOPs). | ✓ | ✓ | ✓ |
| 11. **New FY08:** Plan for special needs populations in the development of EOPs (to include, but not limited to, individuals with limited English language proficiency; individuals with disabilities; children; the aged, etc.). | ✓ | ✓ | ✓ |
| *Total Preparedness: Planning Objectives* | *4* | *4* | *4* |
| *Total New FY08 Preparedness: Planning Objectives* | *2* | *2* | *2* |

| NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|:---:|:---:|:---:|
| **Preparedness: Training** | | | |
| 12. Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training requirements. | ✓ | ✓ | ✓ |
| 13. **New FY08:** Promote and encourage delivery of NIMS training (as identified in the Five-Year NIMS Training Plan Schedule, December 2007). | ✓ | ✓ | ✓ |
| *Total Preparedness: Training Objectives* | *2* | *2* | *2* |
| *Total New FY08 Preparedness: Training Objectives* | *1* | *1* | *1* |

| NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|---|---|---|
| **Preparedness: Exercise** | | | |
| 14. Incorporate NIMS concepts and principles into all appropriate State/Territorial training and exercises. | ✔ | ✔ | ✔ |
| 15. Plan for and/or participate in an all-hazards exercise program [for example, Homeland Security Exercise and Evaluation Program] that involves emergency management/response personnel from multiple disciplines and/or multiple jurisdictions. | ✔ | ✔ | ✔ |
| 16. Incorporate corrective actions into preparedness and response plans and procedures. | ✔ | ✔ | ✔ |
| 17. **New FY08:** Include NGOs and the private sector in an all-hazards exercise program, when appropriate. | ✔ | ✔ | ✔ |
| 18. **New FY08:** Promote the integration of Incident Command, MACS, and Public Information into appropriate exercises. | ✔ | ✔ | ✔ |
| *Total Preparedness: Exercises Objectives* | *5* | *5* | *5* |
| *Total New FY08 Preparedness: Training Objectives* | *2* | *2* | *2* |

| NIMS Compliance Objectives | State/ Territory | Tribal Nations | Local Govts. |
|---|:---:|:---:|:---:|
| **Communications and Information Management** | | | |
| 19. Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards. | ✔ | ✔ | ✔ |
| 20. Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event. | ✔ | ✔ | ✔ |
| 21. **New FY08:** Institute procedures and protocols for operational and information security during an incident/planned event. | ✔ | ✔ | ✔ |
| 22. **New FY08:** Institute multidisciplinary and/or multi-jurisdictional procedures and protocols for standardization of data collection and analysis to utilize or share information during an incident/planned event. | ✔ | ✔ | ✔ |
| 23. **New FY08:** Develop procedures and protocols for communications (to include voice, data, access to geospatial information, Internet/Web use, and data encryption), where applicable, to utilize or share information during an incident/planned event. | ✔ | ✔ | ✔ |
| *Total Communications and Information Management Objectives* | *5* | *5* | *5* |
| *Total New FY08 Communications and Information Management Objectives* | *3* | *3* | *3* |

| NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|:---:|:---:|:---:|
| **Resource Management** | | | |
| 24. Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA Incident Management Systems Division. | ✓ | ✓ | ✓ |
| 25. Ensure that equipment, communications and data systems acquired through State/Territorial and local acquisition programs are interoperable. | ✓ | ✓ | ✓ |
| 26. Utilize response asset inventory for intrastate and interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events. | ✓ | ✓ | ✓ |
| 27. **New FY08:** Initiate State/Territory-wide system to credential emergency management/response personnel to ensure proper authorization and access to an incident including those involving mutual aid agreements and/or assistance agreements. | ✓ | ✓ | ✓ |
| 28. **New FY08:** Inventory and type specific emergency management/ response resources and assets to address unique needs beyond current "Tier One" NIMS National Resource Typing Definitions. | ✓ | ✓ | ✓ |
| 29. **New FY08:** Institute policies, plans, procedures and protocols to prevent spontaneous deployment of resources/personnel and/or responding to a request that bypassed official resource coordination processes (i.e., resources requested through improper channels). | ✓ | ✓ | ✓ |
| 30. **New FY08:** Institute mechanisms to deploy, track, recover, demobilize, and to provide reimbursement for resources utilized during response and recovery. | ✓ | ✓ | ✓ |
| *Total Resource Management Objectives* | *7* | *7* | *7* |
| *Total New FY08 Resource Management Objectives* | *4* | *4* | *4* |

| NIMS Compliance Objectives | State/ Territory | Tribal Nation | Local Govts. |
|---|:---:|:---:|:---:|
| **Command and Management** | | | |
| 31. Incident Command System (ICS): Manage all incidents/ planned events in accordance with ICS organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP), common communications plans, implementation of Area Command (AC) to oversee multiple incidents that are handled by separate ICS organizations or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged, and implementation of unified command (UC) in multi-jurisdictional or multiagency incident management, as appropriate. | ✓ | ✓ | ✓ |
| 32. Multi-agency Coordination System (MACS): Coordinate and support emergency management and incident response Objectives through the development and use of integrated multi-agency coordination systems, i.e. - develop and maintain connectivity capability between local Incident Command Posts (ICP), local 911 Centers, local Emergency Operations Centers (EOCs), the State/Territorial EOC and Regional and/Federal EOCs and NRF organizational elements. | ✓ | ✓ | ✓ |
| 33. Public Information: Institutionalize, within the framework of ICS, Public Information, [e.g., Joint Information System (JIS) and a Joint Information Center (JIC)] during an incident/planned event. | ✓ | ✓ | ✓ |
| 34. Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event. | ✓ | ✓ | ✓ |
| 35. **New FY08:** Utilize access control measures during an incident, as appropriate | ✓ | ✓ | ✓ |
| *Total Command and Management Objectives* | *5* | *5* | *5* |
| *Total New FY08 Command and Management Objectives* | *1* | *1* | *1* |